

Atty. Ref.: Traderprofile-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

4
jc997 U.S. PTO
09/818088



Applicant : Tony Defarlo

Appl. No. : --

Filed : Concurrently herewith

For : DATA ANALYSIS SYSTEM FOR TRACKING FINANCIAL TRADER
HISTORY AND PROFILING TRADING BEHAVIOR

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

RMB
6-29-01

INFORMATION DISCLOSURE STATEMENT

Sir:

Attached hereto is form PTO-1449 listing references which may be considered material in evaluating the patentability of the claims of the above-identified application. Copies of the references are also attached.

Consideration of this Statement is respectfully requested. If there are any questions or if additional information is required, the Examiner is respectfully requested to contact applicant's attorney at the number listed below.

Respectfully submitted

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Date: March 27, 2001

INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,101,353	3-1992	Lupien et al.			JCS97 U.S. PTO 09/818088  03/27/01
	5,132,899	7-1992	Fox			
	5,270,922	12-1993	Higgins			
	5,297,032	3-1994	Trojan et al.			
	5,347,452	9-1994	Bay, Jr.			
	5,819,238	10-1998	Fernholz			
	5,890,140	3-1999	Clark et al.			
	5,893,079	4-1999	Cwenar			
	5,918,217	6-1999	Maggioncalda et al.			
	5,926,801	7-1999	Matsubara et al.			
	5,946,666	8-1999	Nevo et al.			

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,946,667	8-1999	Tull, Jr. et al.			
	5,999,918	12-1999	Williams et al.			
	6,012,042	1-2000	Black et al.			
	6,012,044	1-2000	Maggioncalda et al.			
	6,021,397	2-2000	Jones et al.			

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS *(Including Author, Title, Date, Pertinent Pages, Etc.)*

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): Tony Defarlo			Docket No. 4 Traderprofile-1
Serial No. --	Filing Date Concurrently herewith	Examiner --	Group Art Unit --
Invention: DATA ANALYSIS SYSTEM FOR TRACKING FINANCEIAL TRADER HISTORY AND PROFILING TRADING			
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 5px; min-height: 40px;">new U.S. patent application</div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on</p> <p style="text-align: center;"><u>March 27, 2001</u> <i>(Date)</i></p> <div style="text-align: right; margin-top: 20px;"><p><u>Hilda A. Abreu</u> <i>(Typed or Printed Name of Person Mailing Correspondence)</i></p><p><u>Hilda Abreu</u> <i>(Signature of Person Mailing Correspondence)</i></p><p><u>EL852133066US</u> <i>("Express Mail" Mailing Label Number)</i></p></div>			

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